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## Environmental Restoration Project Quality Procedure

for:

# Records Management

**Los Alamos**  
NATIONAL LABORATORY

Los Alamos, New Mexico 87545

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## Revision Log

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# Records Management

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# Records Management

## 1.0 PURPOSE

This Quality Procedure (QP) states the responsibilities and describes the process by which the ER Project Records Processing Facility (RPF) receives, identifies, reviews, processes, protects, and retrieves ER Project records.

## 2.0 SCOPE

This QP is a mandatory procedure, which the ER Project RPF shall implement when the RPF receives, identifies, reviews, processes, protects, and retrieves ER Project Records.

## 3.0 REFERENCES

This QP directly references or requires for implementation the following documents; the electronic versions are located at

[http://erinternal.lanl.gov/home\\_links/Library\\_proc.shtm](http://erinternal.lanl.gov/home_links/Library_proc.shtm):

ER Project Quality Management Plan

QP-3.2, Lessons Learned

QP-4.4, Record Transmittal to the Records Processing Facility

QP-4.9, Document Development and Approval Process: Peer Review Required

QP-4.10, Document Development and Approval Process: Peer Review Not Required

## 4.0 DEFINITIONS

**Note:** A glossary of definitions is located on the ER Project internal homepage at <http://erinternal.lanl.gov/WritingGuide.shtml>.

4.1 ER ID # — A unique sequential Environmental Restoration Identification Number assigned to ER Records by the RPF.

4.2 ER Project document signature form — The form required for the transmittal of ER Project records generated by QP-4.9, Document Development and Transmittal Process: Peer Review Required and QP-4.10, Document Development and Transmittal Process: Peer Review Not Required. It is electronically initiated from the homepage of the ER web site and contains the automatically assigned ER Project document catalog number (refer to QP-4.9 and QP-4.10).

- 4.3 ER record index form — A standard form that contains specific information that pertains to an individual record/records package. This form is an essential working element of the records processing system to which a barcode identifier is affixed and is used in the microfilming process to mark the beginning of a new record.
- 4.4 Individual record — Any record that is complete unto itself, with all applicable attachments.
- 4.5 Privileged record — A record to which access is controlled due to statutory, legal, or security requirements. Examples include, but are not limited to, Unclassified Controlled Nuclear Information (UCNI) (defined in Section 2.104.11 below) and any item, collection, or grouping of information about an individual including, but not limited to, his or her education, training, financial transactions, medical history, and criminal or employment history and that contains his or her name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as an interview or photograph.
- 4.6 Record — By law, 44 USC 3301, “records” include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by the ER Project in connection with the transaction of business and preserved or appropriate for preservation by the ER Project or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the ER Project or because of the informational value of data in them.  
(Ref. LANL LIR 308-00-02.0).

**Note:** “Records are preserved as evidence of policies, decisions, operations, and procedures because of their informational evidential value” (LANL LIR 308-00-02.0).

“At LANL, it includes information, regardless of media type, including electronic, created or received in connection with the transaction of Laboratory programs and operations. Some examples include, but are not limited to, official correspondence and memoranda (including email), Laboratory notebooks, publications, project plans and reports, technical reports, maps drawings, graphics, calculations, as-built specifications, photographs, film and video, microfilm, sound recordings, machine readable materials, completed Laboratory forms, and stack emission filter raw data” (LANL LIR 308-00-02.0).

- 4.7 Records package — A collection of records that support one topic (e.g., field records, audit files, specific project, etc.) developed to ensure the reconstruction of records for a given activity. ER project personnel may

open a records package by submitting one or more records pertaining to a particular topic; additional records pertaining to this topic are added as required.

- 4.8 Records package #— A unique sequential identifier assigned by RPF staff to a records package for grouping of related transmittals and indexing of records within the package.
- 4.9 Record transmitter— Any ER Project person who develops (e.g., author) and/or transmits ER Project records to the RPF.
- 4.10 Reference record— A record, regardless of physical form, that is either published or widely disseminated or that is readily duplicated from publishers, professional organizations, libraries, vendors, authors, or other similar sources. Generally, a record is referenced by identifying criteria assigned or acquired by the author (e.g., if applicable a report number, volume number, ISBN number, serial number, LA-UR number, drawing number, and/or photo number).
- 4.11 Unclassified controlled nuclear information (UCNI)— UCNI is defined as, and limited to, sensitive, but unclassified Atomic Energy Defense Program information concerning design, production, utilization, and safeguards of nuclear weapons or materials.

## 5.0 RESPONSIBLE PERSONNEL

The following personnel are responsible for activities identified in Section 46.0 of this procedure:-:

- 5.1 Imaging and Quality Coordinator
- 5.2 Record Receiving Coordinator
- 5.3 Records Package Coordinator
- 5.4 Records Processor
- 5.5 Record Transmitter

## 6.0 PROCEDURE

**Note:** ER Project participants may produce paper copies of this procedure printed from the controlled-document electronic file located at [http://erinternal.lanl.gov/home\\_links/Library\\_proc.shtml](http://erinternal.lanl.gov/home_links/Library_proc.shtml). However, it is the individual's responsibility to ensure that they utilize and train to the current version of this procedure. Contact the author if text is unclear.

## 6.1 Process Record

Refer to Attachment A, RPF Records Management Work Process Flow Diagram, for a pictorial representation of this procedure.

- 6.1.1 When the record transmitter transmits a record to the RPF for processing in accordance with QP-4.4, Record Transmittal, the **record receiving coordinator** shall determine the record type (e.g., an individual record or a records package).

**Note:** If the records transmitted are considered a records package, skip to Section 6.1.4 below.

### 6.1.2 Receive an Individual Record

- 6.1.2.1 If the record is an individual record, the **record receiving coordinator** shall verify it for acceptability (e.g., all attachments included, legibility, signatures, ER Document Signature Form, and electronic copy, if applicable).
- 6.1.2.2 If the individual record is not acceptable, the **record receiving coordinator** shall document the status with the ER RPF Record Return Form (Attachment B).
- 6.1.2.3 The **record receiving coordinator** shall return the record to the record transmitter for retransmittal in accordance with QP-4.4, Record Transmittal to the Records Processing Facility.
- 6.1.2.4 If the individual record is acceptable, the **record receiving coordinator** shall date-stamp the record.
- 6.1.2.5 The **record receiving coordinator** shall perform a page count.
- 6.1.2.6 The **record receiving coordinator** or another **record processor** shall transmit the record into a central file pending data entry into the RPF database.

### 6.1.3 Index an Individual Record

- 6.1.3.1 The **records processor** shall assign the ER ID #.
- 6.1.3.2 The **records processor** shall perform the data entry.

**Note:** Data entry consists of capturing information directly from the record. Conduct data entry in order to allow automated--record searches and retrievals by use of an electronic, document-management system.

- 6.1.3.3 The **records processor** shall print out an ER Record Index Form, Attachment C, and attach it to each record.

**Note:** The form shown in Attachment C is an example only. The ER Records Index Form is generated from the RPF database after entry for this record. Access is restricted to RPF personnel.

6.1.3.4 The **records processor** shall affix the bar code (i.e., the ER ID #) to the top left corner of the ER Record Index Form.

6.1.3.5 The **records processor** shall transmit the individual record to a pending microfilm file.

**Note:** Skip to Section 6.1.6.

#### 6.1.4 Receive a Records Package

6.1.4.1 If the records are a *records package*, the **record receiving coordinator** shall submit the records package to the records package coordinator.

6.1.4.2 The **records package coordinator** shall verify the package for acceptability (e.g., it contains the transmittal form; the ER Project Document Signature Form, if applicable; all attachments; etc.).

6.1.4.3 If the records package is not acceptable, the **records package coordinator** shall document issues on the ER RPF Record Return Form (Attachment B).

6.1.4.4 The **records package coordinator** shall return the records to the record transmitter for retransmittal in accordance with QP-4.4, Record Transmittal to the Records Processing Facility.

#### 6.1.5 Index a Records Package

6.1.5.1 If the records package is acceptable, the **records package coordinator** shall date-stamp the record.

6.1.5.2 The **records package coordinator** shall perform a page count.

6.1.5.3 The **records package coordinator** shall assign both a records package # and an ER ID #.

**Note:** To easily distinguish elements of a records package, each record within a package is assigned an ER ID #.

6.1.5.4 The **records package coordinator** shall perform the data entry into the RPF database.



- 6.1.5.5 The **records package coordinator** shall print the Records Index Form (Attachment C) and attach it to each record.
- 6.1.5.6 The **records package coordinator** shall affix the bar code onto the top left corner of the index form.
- 6.1.5.7 If the record transmitter requests a reconciliation report (e.g., a listing of a records package compiled electronically), the **records package coordinator** shall submit a copy of the report and transmittal form to the record transmitter.
- 6.1.5.8 If a reconciliation report is not requested, the **records package coordinator** shall submit only a copy of the transmittal form to the record transmitter.
- 6.1.5.9 The **records package coordinator** shall submit the record to a pending microfilm file.
- 6.1.6 Microfilm Record(s)
  - 6.1.6.1 The **imaging and quality coordinator** shall stage the files in sequential order for microfilming.
  - 6.1.6.2 The **imaging and quality coordinator** shall perform the microfilming according to industry-wide standards and practices.
  - 6.1.6.3 The **imaging and quality coordinator** shall send the microfilm to an external micrographics service for processing.
  - 6.1.6.4 The **imaging and quality coordinator** shall inspect processed film for image quality.
  - 6.1.6.5 If the record is an individual record and requires refilming due to poor image quality, the **imaging and quality coordinator** shall assign a new bar code to the record, repeating from Section 6.1.6.2 above.
  - Note:** An entire records box requiring refilming due to poor image quality does not receive a new bar, but is refilmed, repeating from 6.1.6.2 above.
  - 6.1.6.6 The **imaging and quality coordinator** shall input the roll number, ER ID #, and record-box number into the database.

#### 6.1.7 Prepare Microfilm for Dual Storage

- 6.1.7.1 The **imaging and quality coordinator** shall generate a record-box report listing for LANL records storage.
- 6.1.7.2 The **imaging and quality coordinator** shall label the records box and microfilm accordingly.
- 6.1.7.3 The **imaging and quality coordinator** shall send the original film and record box along with the required IM Transfer Request Form (1701) to LANL records storage for long-term, dual storage.
- 6.1.7.4 Upon receipt of IM's record locations, the **imaging and quality coordinator** shall update the internal, dual-storage database with dual-storage locations for microfilm and record box.
- 6.1.7.5 The **imaging and quality coordinator** shall file a working-film copy at the RPF.

#### 6.2 Protect Record

The **RPF** shall protect records by

- organizing and placing records in labeled folders/boxes for storage;
- ensuring dual storage in the off-site LANL Records Storage Facility which meets standard security requirements for the storage and protection of records information;  
**Note:** Dual storage minimizes the risk of losing records through damage or destruction caused by exposure to extreme environmental conditions (e.g., excessive light, humidity, or temperature) and/or flooding, spillage of liquids, fire, mechanical failure, or pests.
- maintaining a working microfilm copy at the RPF;
- storing reference records in an area with lockable doors and/or in lockable metal cabinets to protect them from larceny and/or vandalism; and
- ensuring tape backups of the RPF records database are performed by the ER Network Administrator.

#### 6.3 Retrieve Record

See Attachment D, RPF Record-Retrieval Process Flow Diagram, for a pictorial representation of this process.

6.3.1 The **RPF records processor** shall receive all record-retrieval requests via e-mail, telephone, in person, etc.

**Note:** The RPF allows authorized U.S. Department of Energy (DOE) and ER Project participants to retrieve records at the RPF, including UCNl records, on a “need to know” basis. All other requestors must directly contact the Laboratory Community Relations Office.

6.3.2 The **RPF records processor**, using the ER ID #, shall retrieve the requested record from microfilm or the paper copy from the reference library, as applicable.

**Note:** Electronic files stored in the RPF are not the “controlled” version used for revision purposes. The requester shall follow QP-4.5, Document Control, when requiring electronic files for revision purposes.

6.3.3 If the records processor views a *privileged record* (see Section 4.5 above) alert when searching the ER ID# database, the **RPF records processor** shall ensure that the requestor completes the Privileged-Record Checkout Form (Attachment E).

6.3.4 The **RPF records processor** shall photocopy the record.

6.3.5 The **RPF records processor** shall redact the record's photocopy of “need to know” information.

6.3.6 The **RPF records processor** shall photocopy the redacted record.

**Note:** Original records are not removed from the RPF.

6.3.7 If the requested record is not a *privileged* record, the **RPF record processor** shall photocopy the record.

**Note:** If the request is an UCNl record, the RPF attaches an UCNl cover sheet (Attachment F) to the record.

6.3.8 Whether a privileged record or not, the **RPF records processor** shall then transmit the photocopy of the requested record to the requester.

6.3.9 The **RPF records processor** shall log the retrieved record into the RPF request database.

#### 6.4 Receive Electronic Files

6.4.1 Review Attachment G, ER Project Record Electronic File Capture Process Flow Diagram, for a pictorial representation of this process.

6.4.2 When the record transmitter deposits the electronic file of a document completed according to QPs-4.9 or -4.10, document development and approval procedures, in the RPF Master Drop Box

(ER-12/RPFMASTERDROPBOX) on the ER Project intranet, the file is automatically distributed for archiving by the RPF.

## 7.0 RECORDS

No independent records are generated as a result of this procedure. The forms generated as a part of this procedure are attached to the record as it is processed through the RPF.

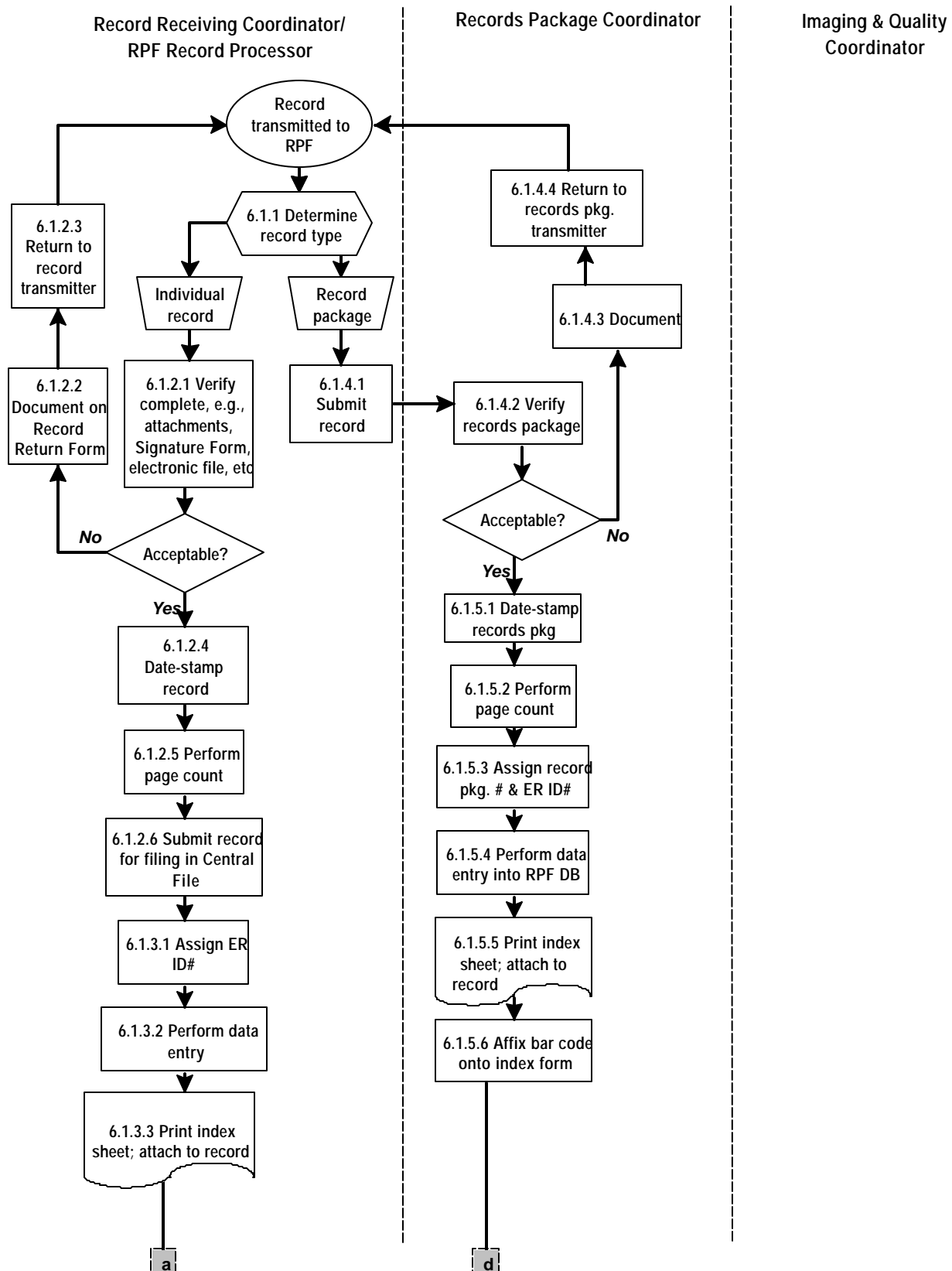
## 8.0 TRAINING

- 8.1 All users of this QP are trained by reading the procedure. The **user** shall ensure the training is documented in accordance with QP-2.2, Personnel Orientation and Training, and is entered in the ER Project Training Database located at <http://erinternal.lanl.gov/Training/login.asp>.
- 8.2 The supervisor shall monitor the proper implementation of this procedure and ensure that relevant team members complete and document all applicable training assignments in accordance with QP-2.2, Personnel Orientation and Training.

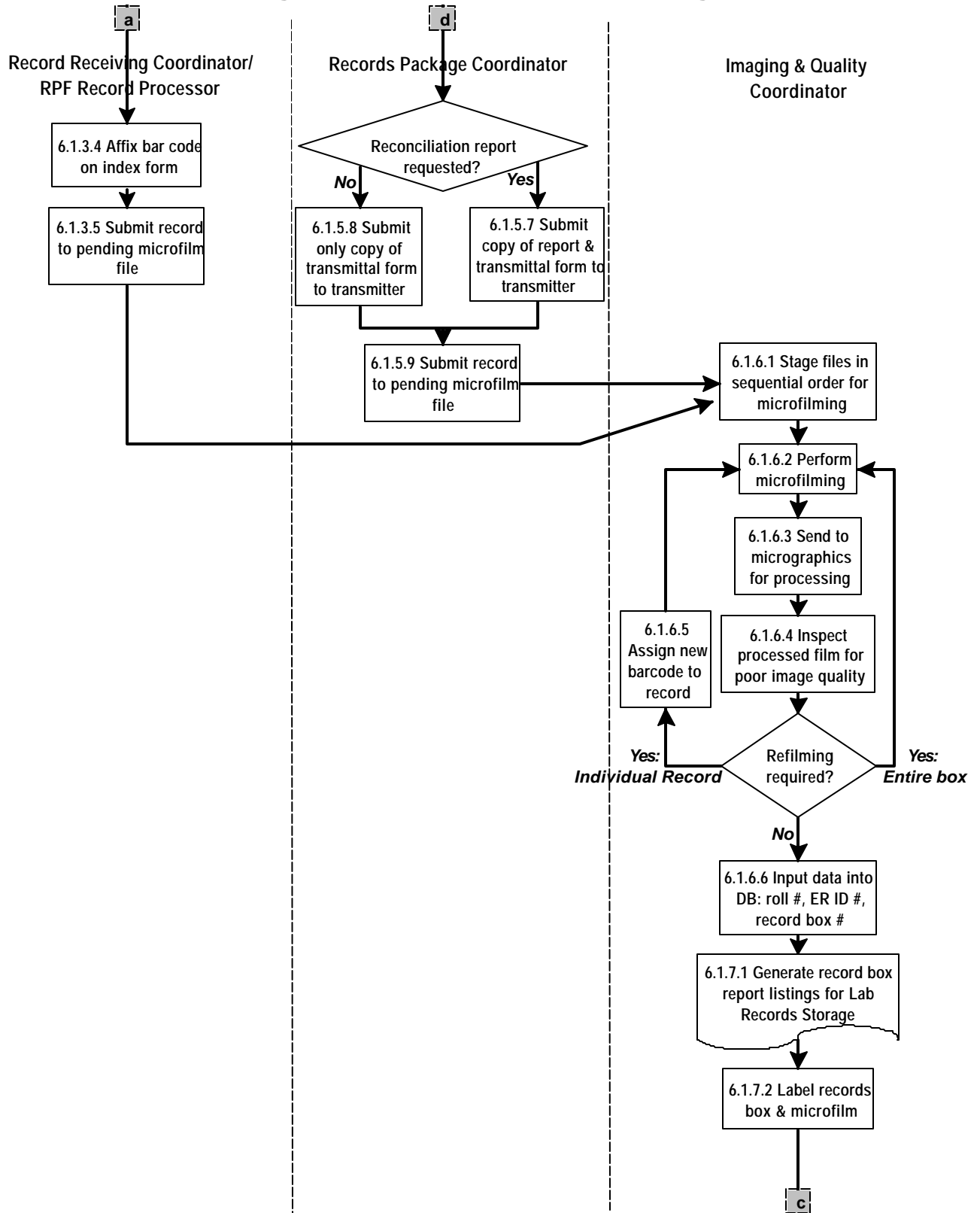
## 9.0 ATTACHMENTS

- Attachment A: RPF Records Management Work Process Flow Diagram (3 pages)
- Attachment B: Environmental Restoration RPF Record Return Form (1 page) located at <http://erinternal.lanl.gov/Quality/user/forms.asp>
- Attachment C: Example of a Record Index Form (1 page)
- Attachment D: RPF Record Retrieval Process Flow Diagram (1 page)
- Attachment E: Privileged-Record Checkout Form (1 page) located at <http://erinternal.lanl.gov/Quality/user/forms.asp>
- Attachment F: Example of UCNI Cover Sheet (1 page)
- Attachment G: ER Project Electronic File Capture Process (1 page)

## RPF Records Management Work Process Flow Diagram



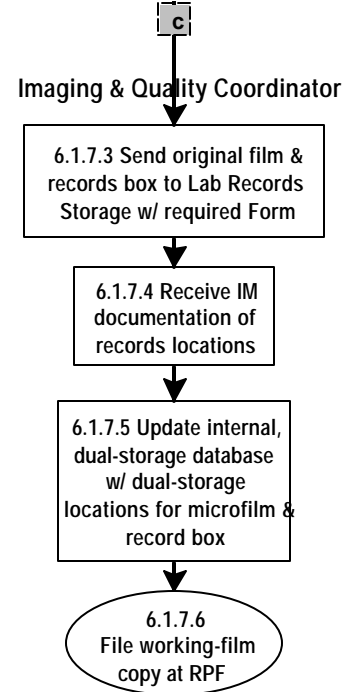
## RPF Records Management Work Process Flow Diagram (continued)



## RPF Records Management Work Process Flow Diagram (continued)

Record Receiving Coordinator /  
RPF Record Processor

Records Package Coordinator



## Environmental Restoration RPF Record Return Form

### Part I (RPF personnel complete.)

The attached record (or records package) was reviewed and determined incomplete for processing.

Record Transmitter's Name \_\_\_\_\_ Date of Record \_\_\_\_\_

Organization \_\_\_\_\_ Mail Stop \_\_\_\_\_

Date Returned to Record Transmitter \_\_\_\_\_ Return to RPF by \_\_\_\_\_

ER Document Catalog Number ER \_\_\_\_\_ - \_\_\_\_\_ Symbol Number \_\_\_\_\_

- ☐ 1. Incomplete—ER Project Document Signature Form (if required), electronic file (if required), pages, attachments, or enclosures are missing.
- ☐ 2. Not properly authorized (required signatures or initials are missing).
- ☐ 3. Incomplete records listing for records package. Information is not properly identified.
- ☐ 4. Document quality is poor; does not provide adequate image. If this is the "best available copy," please return the document to the RPF.  
Please initial \_\_\_\_\_ and date \_\_\_\_\_ here.
- 5. Other: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### Part II (Record transmitter completes.)

Please take appropriate corrective action and return the record **and this form** within 14 working days to the ER Records Processing Facility (RPF), MS M707.

#### Comments:

(Optional)

#### Returned:

(RPF Signature)

(Date)

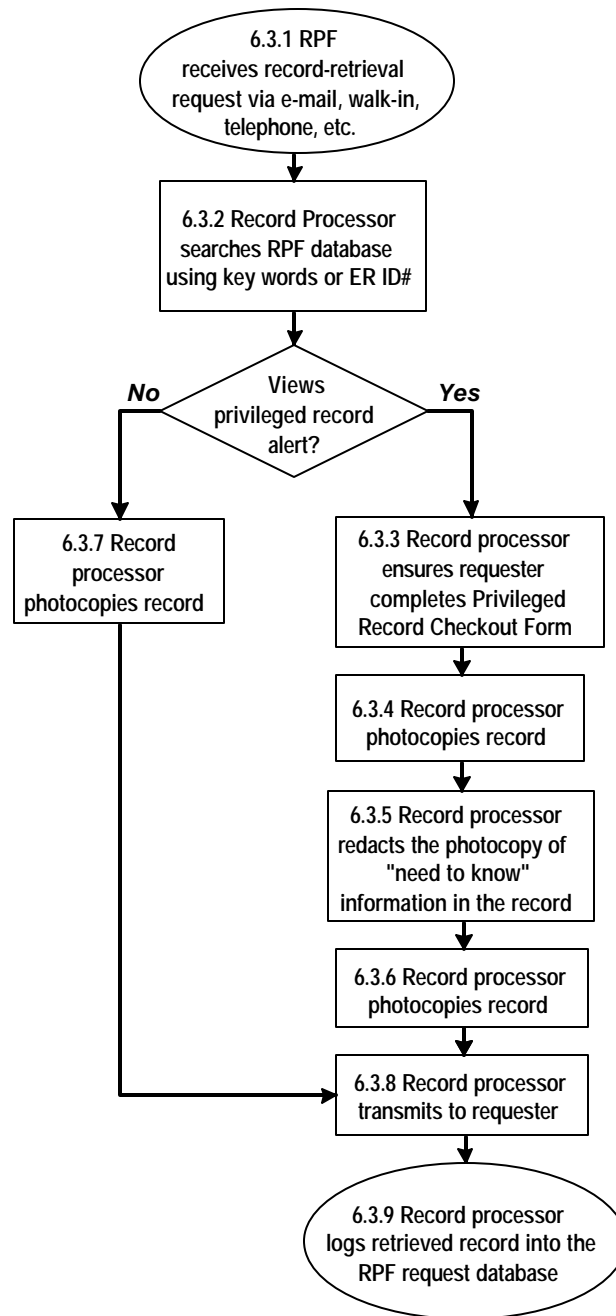
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Record Index Form			
(ER ID # barcode label goes here.)		<b>Los Alamos National Laboratory</b> <b>Environmental Restoration</b> <b>Records Processing Facility</b> <b>ER Records Index Form</b> <b>RPF Use Only</b>	
<b>ER ID #:</b>	<b>Date Received:</b>	<b>Processor:</b>	<b>Page Count:</b>
<b>Privileged: (Y/N)</b>	<b>Record Category:</b>		
<b>File Folder:</b>			
<b>Correction: (Y/N)</b>	<b>Corrected No.</b>	<b>Corrected By Number:</b>	
<b>Administrative Record: (Y/N)</b>			
<b>Refilmed: (Y/N)</b>	<b>Old ER ID Number:</b>	<b>New ER ID Number:</b>	
<b>Miscellaneous Comments:</b>			
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## RPF Record-Retrieval Process Flow Diagram



## RPF Privileged-Records Checkout Form

◆ Date Of Request: \_\_\_\_\_

◆ Requestor: \_\_\_\_\_

Z #: \_\_\_\_\_

(Print Name)

◆ Requestor's Signature: \_\_\_\_\_

◆ ER ID #: \_\_\_\_\_

◆ Purpose for Record: (Need To Know): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### (For RPF Use Only)

◆ Author/Originator Approval: \_\_\_\_\_

(If Needed)

◆ Redacted: (Please Check One) YES ☐ NO ☐

◆ Released By: \_\_\_\_\_

(RPF Personnel)

◆ Date of Release: \_\_\_\_\_

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# UCNI

**LOS ALAMOS NATIONAL LABORATORY  
ATTACHED DOCUMENT OR MATERIAL CONTAINS OR MAY CONTAIN  
UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION (UCNI)  
AS DEFINED BY SECTION 148 OF THE  
ATOMIC ENERGY ACT**

You have been granted routine access by an Authorized Individual to the attached document or material. Official procedures for access to, protection and transmission of, and routine handling of UCNI are contained in DOE Order 471.1. All holders of the attached document or material are required to be familiar with and to follow these procedures. Minimum requirements are listed on this cover sheet for reference. Refer to the above DOE Order for further details.

**ACCESS:** Any Authorized Individual (a person who has a need to know the information in connection with the performance of official DOE-authorized activities) may have routine access to UCNI.

**PROTECTION:** An Authorized Individual must:

- ◆ Maintain physical control of the documents at all times when they are in use.
- ◆ Reproduce the documents only to the extent required for official DOE-approved purposes.
- ◆ Ensure that next-level users are Authorized Individuals and are notified of the appropriate procedures.
- ◆ Prevent unauthorized access or dissemination.
- ◆ Store in a secured manner when not in use. A locked desk drawer, file cabinet, or room is adequate when not in a secured area or facility.
- ◆ Destroy by 1/4-inch strip shredding or as classified waste.

**TRANSMISSION:** UCNI may be transmitted by:

- ◆ U.S. First Class or higher mail, or any means approved for classified. Outer containers must not carry UCNI markings.
- ◆ Handcarrying, if adequate physical control is maintained.
- ◆ Open telecommunication means (phone or fax) if required; use of secure means preferred.

**PENALTIES:** Persons who violate DOE Order 471.1 are subject to:

- ◆ Administrative penalty, up to and including termination of employment.
- ◆ Civil penalty of up to \$100,000. Criminal penalties may also apply under section 223 of the Atomic Energy Act.

# UCNI

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## ER Project, Record Electronic File Capture Process Flow Diagram

